# Even Start Family Literacy Program

## 2010-11 Grant Guidelines

**WISCONSIN DEPARTMENT OF PUBLIC INSTRUCTION**

**Wisconsin Department of Public Instruction**
Tony Evers, PhD, State Superintendent
Madison, Wisconsin

*In cooperation with:*

**Wisconsin Technical College System Board**
Stan Davis, President
Madison, Wisconsin

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## I.   Overview

The William F. Goodling Even Start Family Literacy (ESFL) Programs are authorized by Title I, Part B, Subpart 3 of the Elementary and Secondary Education Act of 1965 (ESEA) as amended by the No Child Left Behind Act of 2001 (NCLB). The ESFL program[1] is a family centered program providing participating families with an integrated program of early childhood education, adult education and basic skills instruction, parenting education, and interactive literacy activities between parents and children. All projects have some home-based instruction and provide for the joint participation of parents and children.

Award recipients must comply with all the requirements set forth in NCLB (Title I, Part B, Subpart 3), the rules and regulations thereunto, and these guidelines, including those dealing with program evaluations and reporting requirements.

By accepting ESFL monies, the applicant and primary partner are assuring that they will comply with all applicable state and federal statutes, rules, and regulations. For year two, 2010-11, update narrative, provide original signatures for Section IV and V as needed, and provide new budget pages and other information as requested.

## II.   Purpose

It is the purpose of this legislation to help break the cycle of poverty and low literacy by improving the educational opportunities of the nation's low income families as defined by federal law.

Subgrants under ESFL are awarded for the purpose of family literacy programs[2] that are services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of duration, to make changes in a family, and that integrate all of the following core components:

### A.  Adult Education and Literacy Training

The adult education component provides high-quality, intensive instructional programs, adult literacy or adult basic education, including English language literacy as necessary, that leads to economic self sufficiency.

Services or instruction provided to adults, below the college level who:
1.  Are not enrolled in secondary school;
2.  Lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education;

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[1] The ESFL statute is available at the following website: http://www.ed.gov/policy/elsec/leg/esea02/pg6.html.

[2] As defined by the Head Start Act, Adult Education and Family Literacy Act, and the No Child Left Behind Act, which includes all Title I Programs, family literacy programs are "Services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of duration, to make changes in a family, and that integrate all of the following activities: interactive literacy activities between parents and their children; training for parents regarding how to be a primary teacher for their children and full partners in the education of their children; parent literacy training that leads to self-sufficiency; and age-appropriate education to prepare children for success in school and life experiences."

3. Are not currently required to be enrolled in school; and
4. Lack mastery of basic skills that results in an inability to speak, read, or write the English language which constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability, and thus are in need of programs to help eliminate such inability and raise the level of education of such individuals with a view to making them less likely to become dependent on others.

## B. Early Childhood Education

The early childhood education instructional component provides high quality, intensive, and age-appropriate early childhood educational services to prepare children for success in school and life experiences.

Services and instruction are in a safe and nurturing developmentally appropriate environment that promotes the physical, social, emotional, and cognitive development of young children while responding to the needs of families. Examples: Head Start, Title I, English as a Second Language, Special Education, community-based child care, and education programs for young children below five-year-old kindergarten.

## C. Parent Education

The parenting education instructional component provides high quality and intensive instructional programs for parents about how to be the primary teacher for, and full partners in the education of their children and support their children's educational growth. It includes services and instruction assisting parents to identify, analyze, and tackle their problems; to develop parenting skills and life competencies; to recognize their strengths and resources; and to bond with other parents for support and friendship.

## D. Interactive Literacy Activities Between Parent and Child (ILA)

The ILA instructional component provides high quality, intensive, interactive literacy activities between parents and their children. ILA is a time when parents and children work, play, and learn together as a family unit. In many cases, activities are initiated by the children. Parents have the opportunity to learn with and from their children.

## III. Even Start Family Literacy Program Requirements
### A. General Requirements

The family literacy program shall:
1. Be implemented through cooperative projects that build on existing community resources of high quality to create a new range of services;
2. Promote the academic achievement of children and adults;
3. Assist children and adults from low-income families to achieve the challenging state content standards and the challenging state student performance standards; and
4. Use instructional programs based on scientifically-based reading research. [3]

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[3] Scientifically-Based Reading Research is defined as the application of rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties. (Section 2252(5), ESEA) SBRR has determined reading instruction

## B. Required Elements
To receive ESFL funds, ESFL programs are required by the U.S. Department of Education (USDE) to incorporate all of the following elements, which are included in the grant application.

### 1. Identification and Recruitment of Families Most In Need of ESFL Services
Each project must identify and recruit families most in need of ESFL services, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators. It is important to note the distinction between families that are considered "eligible" for ESFL services and those actually served by a project. ESFL projects serve a small subset of the "eligible" population and must target families who are most in need of services.

### 2. Services to Families Most In Need
Each project must ensure that the program will serve those families most in need of ESFL activities and services. This is related to Program Element #1.

### 3. Screening and Preparation of Participants
Each project must screen and prepare parents (including teenage parents) and children to enable such parents and children to participate fully in ESFL activities and services. This includes testing of parents to ensure eligibility for services, referral to necessary counseling, other developmental and support services, and related services. A project should ensure that each member of an eligible family is fully ready to benefit from the ESFL program prior to considering them for program participation.

### 4. Flexible Scheduling and Support Services
Each project must be designed to accommodate participants' work schedules and other responsibilities, including the provision of support services when such services are unavailable from other sources. Flexibility in scheduling classes in order to optimize family participation and retention is especially critical given the demands of welfare reform, as are providing support services such as transportation, child care, and meals.

### 5. High-Quality, Intensive Instructional Programs
Each project must provide high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood services, and preparation of children for success in regular school programs. Each of the four core components is considered an instructional program. The four core components are: adult education; early childhood education; parent education; and interactive literacy activities between parents and children.

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should include: phonological and phonemic awareness; explicit systematic phonics; vocabulary development; reading fluency; and reading comprehension strategies.

In accordance with the USDE, the recommended minimum intensities for the four core components are:

- Adult Education – 60 hours per month
- Early Childhood Education (birth – 3) – 60 hours per month
- Early Childhood Education (above 3 – preschool) – 65 hours per month
- Parenting Education and Interactive Literacy Activities between Parents and Children – 20 hours per month

Programs should not double count hours. For example, if adult education takes place at one site from 8:30 am to 11:30 am, then parents and children come together for an additional half hour of ILA activities, the ILA time cannot also be counted as adult education. If programs feel strongly that they are both providing adult education such as English language acquisition and ILA during the same time frame, then the time should be split proportionally.

### 6. Attendance and Retention

Each project must encourage participating families to attend regularly and to remain in the program a sufficient amount of time to meet their program goals. Each individual program determines what is reasonable attendance for a family in order to achieve its educational goals and to remain as active participants in the program.

### 7. Home-Based Instructional Services

Each project must provide and monitor integrated instructional services to participating parents and children through home-based services. These services should be designed to improve the literacy skills of children or their parents, or both, and communicate the message that the home is a child's first classroom just as the parent is a child's first teacher.

Home visits/home-based instruction is defined as a visit made to the family's home or upon the family's request in a neutral site. The emphasis may vary according to family needs, but <u>may</u> include: goal setting; problem solving; adult education; early childhood education; parent education; or integrated parent/child literacy activities. Home visits do not need to address all four core components but can focus on one or two. Home visits should focus on the area of the family's greatest need(s) and be closely coordinated with ESFL classroom teachers.

The USDE recommends that a project provide home-based services for every ESFL family on a regular basis. The DPI requires projects to conduct a minimum of six home-based instructional visits annually.

### 8. Year-Round Services

Each project must operate on a year-round basis, including the provision of some program services, instructional and enrichment, during the summer months. This allows families to receive continuous opportunities to improve their learning and avoid the common drop-off in achievement that often occurs during long breaks or

vacations. Therefore, the families served during the summer should be the same families served during the school year.

### 9. Continuity of Services

Each project must promote the continuity of family literacy, to the extent applicable, to ensure that individuals retain and improve their educational outcomes. Educational services supplementing in-school instruction provided through the early school years can be critical to sustaining gains made during the preschool years.

### 10. Coordination with Other Programs

Each project must coordinate with relevant programs such as Title I, Part A, Early Reading First, Reading First, Migrant Education, 21st Century Community Learning Centers, Head Start, and volunteer literacy programs. Local projects must also coordinate with any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, Title I of the Workforce Investment Act of 1998, and any other relevant programs.

### 11. Instructional Programs Based on Scientifically-Based Reading Research

Each project must use instructional programs based on scientifically-based reading research for children and adults, to the extent such research is available. The underlying premise of basing instructional programs on scientifically-based reading research is that using strategies and techniques that are demonstrated to be effective through the application of scientific research methods will give states, districts, and schools a higher probability that children enter school prepared to learn to read and adults significantly improve their literacy and help their children succeed in school.

### 12. Reading Readiness Activities Based on Scientifically-Based Reading Research

Each project must base its reading readiness activities for preschool children on scientifically-based reading research, to the extent available, to ensure children enter elementary school ready to learn to read.

### 13. Local Independent Evaluation

Each project must provide for an independent evaluation of the program that it will use for program improvement. The independent evaluation generally is conducted annually and provides critical data and information to the local program on the performance of families as well as on the quality of the implementation of the core components and program elements. The project must use this data and information and make connections to the State Indicators of Program Quality for participant progress monitoring and continuous program improvement to lead to better participant outcomes. The local independent evaluation must report on the use and results of the assessments identified by the State Indicator of Program Quality.

### 14. Staff Qualifications

Each project must meet the following staff qualification requirements for staff whose salaries are paid in whole or in part with ESFL funds. Staff that are not paid with

ESFL funds, such as staff supported by collaborators or partners, are not subject to the requirements of this program element.

- **Staff Providing Academic Instruction**
  Instructional staff are considered those staff members who provide instruction in the four core Even Start components. A majority of the individuals providing academic instruction:
  1. Must have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary or secondary school education, or adult education; and
  2. If applicable, must meet qualifications established by the state for early childhood education, elementary or secondary school education, or adult education provided as part of an ESFL program or another family literacy program.

  New instructional staff who are hired to work in early childhood components and adult education components in ESFL projects must, when they are hired:
  1. Have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary or secondary school education, or adult education; and
  2. If applicable, meet qualifications established by the state for early childhood education, elementary or secondary school education, or adult education provided as part of an ESFL program or another family literacy program.

- **Project Director/Coordinator**
  The individual responsible for administration of family literacy services must have training in the operation of a family literacy program. Projects must have the National Center for Family Literacy (NCFL) Foundations in Family Literacy training, or its equivalent, approved by the Even Start Family Literacy State Coordinator. In addition, the NCFL training for those administering family literacy programs must be completed within the first year of hiring.

- **Paraprofessionals**
  Paraprofessionals who provide support for academic instruction must have a high school diploma or its recognized equivalent.

### 15. Staff Training
Each project must train staff, including child care staff, to develop the skills necessary to work with parents and young children in the full range of ESFL instructional services offered.

## C. Eligible Participants
Eligible participants in an ESFL program are:
1. A parent or parents:
   a. Who are eligible for participation in an adult basic education program under the Adult Education Act; or

      b.  Who are teen parents. They can be served regardless of age, so long as the teen parent is attending secondary school. If the teen parent is not attending secondary school, the teen parent still is eligible if:

- The parent is within the State's compulsory school attendance age range and a local educational agency (LEA) provides or ensures the availability of the teen's basic educational component; or
- The teen is older than the compulsory school attendance age range and is eligible for services under the Adult Education and Family Literacy Act.

2. The child or children who are from birth through age seven. Children eight years of age or older may be served if schools use Title I funds to pay a portion of the costs of providing services to children of this age as long as the focus of the program remains on families with young children.

3. Family members of eligible participants may participate in activities and services when appropriate.

4. Private school children who are school-age in enrolled families. They must receive equitable services as their public school peers. The equitable participation provisions, applicable to ESFL for the first time under NCLB, are found in sections 9501-9504.

These provisions require recipients of federal funds to provide eligible school-age children who are enrolled in private elementary and secondary schools, and their teachers or other educational personnel, educational services and benefits under those programs on an equitable basis. Eligible entities must provide the equitable services after timely and meaningful consultation with the appropriate private school officials. The services must be provided by the eligible entity or through a contractor that is independent of any private school or religious organization.

This means that ESFL projects must consult with private school officials to determine how to ensure that private school students (elementary and secondary) are given the same opportunity to participate in the ESFL project as their public school counterparts. Specifically, the eligible entity must consult with private school officials to determine how to provide equitable ESFL services to eligible families in ESFL that have children enrolled in private elementary schools or parents enrolled in private secondary schools.

Consultation between public and private school officials must occur before any decision is made that could affect the ability of private school families to participate (that is, as the project is being designed and before the application is submitted to the subgrant competition) and should continue throughout the implementation and assessment of activities. Consultation generally must include discussions on such issues as: how the private school families' needs will be identified; what services will be offered; how and where the services will be offered and provided; who will provide the services; how the services will be assessed and how the results of assessments will be used to improve those services; the amount of funds available for services; the size and scope of services to be provided; and how and when the LEA/agency will make decisions about the

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delivery of services. The ESFL services for eligible private school students must be comparable to the services for their public school counterparts in terms of quality, scope, and opportunity for participation. In addition, total program expenditures for services and benefits for participating elementary and secondary private school students must be equal (taking into account the relative numbers of those private and public school students participating in the ESFL program and their needs) to the expenditures for participating elementary and secondary public school students.

## IV.  Application Information
### A.  Application Timeline

| | |
|---|---|
| June 10, 2010 | Applications are due to the DPI |
| July 1, 2010 – June 30, 2011 | Second year of four-year funding cycle |
| September 30, 2010 | Final claim due for year one application |
| May 27, 2011 | Final day for budget modifications |
| June 30, 2011 | Grant end date (no carryover) |
| September 30, 2011 | Final claim due for year two application |

### B.  Format Specifications

Complete applications include both the application form, PI-1765 (Rev. 04-10), and a budget. In order for an application to be eligible for review, applications must adhere to the specifications listed below.

- The page size should be standard 8 ½ x 11 inches and font should not be smaller than 10 pt.
- Faxed copies **will not** be accepted.
- The attachments must be limited to 20 pages, single-sided.
- The original and each copy of the application must be stapled.
- Send the DPI the original and five copies of the grant application.
- Plastic spiral or other bindings are not acceptable.
- Application may not be printed back-to-back.
- Appendix A defines terms found in the application.
- Technology guidelines for the application, budget forms, and the ESFL project evaluation component are outlined in Appendix B.
- The original, plus five copies must be submitted to: Kathy Trotta, Wisconsin Even Start Family Literacy Program, Wisconsin Department of Public Instruction, 125 South Webster Street, P.O. Box 7841, Madison, Wisconsin 53707-7841, by **4:30 p.m. on Thursday, June 10, 2010.**

### C.  Eligible Grant Applicants

Applications can only be submitted in a partnership composed of a LEA/school district and a nonprofit community-based organization, a public agency other than a LEA, an institution of higher education, or a public or private nonprofit organization

of demonstrated quality. In addition, applications can only be considered for approval if they meet the required purposes and sufficient funds are available. Furthermore, other connections need to be made with other community partners.

The Wisconsin Department of Public Instruction (DPI) will give priority to applications that target services primarily to families who are most in need, provide evidence of sufficient progress in meeting the state performance indicators, local goals and objectives in their application, demonstrate quality researched-based programming, and have qualified staff.

## D.  Available Funds and Funding Cycle

The DPI will provide approximately $747,000 in grant awards for 2010-11. Grant awards are based upon available funds from the USDE.

The minimum annual federal grant award is $75,000 for new applicants or programs that have received ESFL funding for eight years or less. However, the DPI has the discretion to award one program less than $75,000 if the grant is of sufficient size, scope, and quality to be effective.

For applicants applying for their ninth (or subsequent) year of ESFL funding, the minimum grant award is $52,500.

Grant applications are for four-year projects. Award recipients will receive funding for the 2010-11 school year with a possibility of non-competitive, continued funding for two additional years. Award recipients must submit continuation applications annually. Continued funding is based upon available funds from the USDE and the award recipient's progress towards meeting performance objectives. An open grant competition is held every four years and all programs wishing to continue **must** compete.

For year two of the project, 2010-11 grantees will be required to submit a continuation application which will include original signatures for Sections IV, V and VI, new budget pages, and other information as requested.

Grant awards must be spent within the grant year. Carryover is not allowed.

## E.  Local Match Contribution

ESFL program's purpose is to bring together diverse elements of family literacy into a cohesive, mutually supportive effort. Therefore, applicants must commit a local match contribution. The local match contribution is the amount the program is required to contribute to the total cost of the project. The amount of the local match contribution is based on the number of years an applicant has received federal funding for the ESFL program.

The source of the local match may be provided in cash, or in-kind that is fairly evaluated[4], and may be obtained from *any* source, including any federal funds under Title I other than ESFL. When Title I, Part A LEA grant funds are used as part of the local match, those funds may be used for supporting any component of family literacy services. It is in the best interest of projects to secure cash match as well as in-kind match for sustainability.

A project is responsible for providing a portion of the total cost of the program each year. As the project continues, more local match is required to sustain the project. Table 1, below, lists the amount of local match required for each year. Moreover, examples 1 and 2 provide further guidance in calculating the local match contributions.

Table 1: Local Match Contribution Requirement

| Year of Grant Project | Federal Share | Local Match |
|---|---|---|
| 1 | no more than 90% | at least 10% |
| 2 | no more than 80% | at least 20% |
| 3 | no more than 70% | at least 30% |
| 4 | no more than 60% | at least 40% |
| 5 - 8 | no more than 50% | at least 50% |
| 9 + | no more than 35% | at least 65% |

Example 1
In the first year of federal funding, a project is responsible for providing at least ten percent of the total cost of the project. If an applicant requests $225,000 of federal ESFL funds, that amount is 90% of the project. To determine the local match contribution, the applicant would first calculate the total project cost by dividing the federal ESFL share by 90% ($225,000 / .90 = $250,000). Then multiply the total project cost by ten percent ($250,000 x .10 = $25,000). Thus, the local match contribution would be $25,000.

Total ESFL Federal Funds Request = $225,000 (90%)
Local Match Contribution = $25,000 (10%)
Total Project Cost = $250,000 (100%)

Example 2
To determine the minimum local match from the total cost of the proposed project, the applicant would multiply the total project cost by the local match percentage required for the project year.

If an applicant is in the first year of federal ESFL funding and knows the total project cost is $125,000, the applicant would multiply that figure by ten percent to determine the minimum local match ($125,000 x .10 = $12,500). The applicant would calculate

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[4] Documentation of "fairly evaluated" services may be requested.

the federal share by subtracting the local match from the total project cost ($125,000 - $12,500 = $112,500).

Total ESFL Federal Funds Request = $112,500 (90%)
Local Match Contribution = $12,500 (10%)
Total Project Cost = $125,000 (100%)

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**Examples of In-Kind Match Contributions:**
- Use of the school family resource center for parenting classes
- A portion of the principal's time for supervision and administration if located in a school building or a director's time if located in a community-based organization
- Use of a local church basement for a day care center
- Time donated by a senior citizen's group for child care assistance

**Examples of Cash Match:**
- Title I money for coordinator's salary or parent/child materials
- Wisconsin Technical College Adult Education funds for the adult educator
- Children's Trust Fund for parent educators
- Private foundation money for transportation

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## F. Program Plan
### 1. State Indicators of Program Quality

The program plan includes the State Indicators of Program Quality[5] (listed below). The State Indicators of Program Quality are listed as objectives in the application. For each indicator, applicants are required to check the appropriate box(es) for each objective to indicate if it is a state and/or local indicator, list the activities for 2010-11 they will implement to accomplish the objective, provide an update on the progress that has been made to date on 2009-10 objectives, plus list the completion date, position responsible for the activity, and the evaluation method. On the "children section" of the program plan, please note that 4th and 5th objectives that are listed have been revised. See the changes made below on children objective (d) and (e). (Note: Some of the Indicators of Program Quality already identify the evaluation method to be used.)

Children
a) Of the children in kindergarten, up to and including third grade (ages 5 – 8), whose parents have participated in the ESFL program for at least 80 hours, 80 percent will achieve a 95 percent attendance record.
b) Of the children in kindergarten, up to and including third grade (ages 5 – 8), whose parents have participated in the ESFL program for at least 80 hours, there will be an overall promotion rate of 90 percent or greater. (Official memorandum of understanding between the ESFL program and the school district to release information may be needed.)

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[5] Wisconsin's ESFL State Indicators for Program Quality were reviewed and updated for 2010-11.

c) Of the children birth up to and including three-year-olds, whose families participate in the ESFL program for 80 hours, 75 percent will receive a vision, hearing, and developmental screening.

d) Twenty percent of ESFL parents will be assessed on support of their child's literacy behaviors in the home environment using Scale I of the Parent Education Profile (PEP) Assessment, and will show a gain of .3.

e) Twenty percent of ESFL parents will be assessed on their role in interactive literacy activities using Scale II of the Parent Education Profile (PEP) Assessment, and will show a gain of .3.

f) Of the children in kindergarten, up to and including fifth grade (ages 5–10), whose parents have exited the ESFL program, but who have participated for 80 hours within the previous three years, 50 percent of the children will exhibit average or above skills on seven of the ten dimensions of the Classroom Teacher Rating Scale, "Following Children in Public Schools" (FCIPS).

g) Of those four-year-old children assessed prior to five-year-old kindergarten, using the Upper-Case Alphabet Recognition Sub-Task of the PALS PreK assessment, 65 percent will know 12 or more letters.

h) Of those four-year-old children assessed prior to five-year-old kindergarten, with the Peabody Picture Vocabulary Test – Receptive Language IV, 70 percent or more will show a standard score gain of four or more.

i) Of those four-year-old children assessed prior to five-year-old kindergarten, with the Peabody Picture Vocabulary Test – Receptive Language IV, 70 percent or more will show a standard score of 85 or higher on the spring assessment (administered after April 1, 2011).

Adults

a) Of the adults enrolled in Adult Basic Education (ABE) who participated in pre/post testing, using the Test of Adult Basic Education (TABE), 70 percent will achieve one National Reporting System (NRS) level gain or the project will achieve 65 percent of the Wisconsin Technical College Systems (WTCS) NRS level gain percentages.

Award recipients will receive the NRS percentage targets negotiated by the WTCS and the USDE when they are integrated into the DPI's reporting system database which is distributed to all funded projects.

b) Of the adults enrolled in English for Speakers of Other Languages (ESOL) who participated in pre/post testing, using the BEST Plus assessment, and as an additional option, BEST Literacy assessment, 60 percent will achieve one NRS level gain or the project will achieve 65 percent of the WTCS level gain percentages.

Award recipients will receive the NRS percentage targets negotiated by the WTCS and the USDE when they are integrated into the DPI's Reporting System database which is distributed to all funded projects.

c) Of the adults who choose employment as a primary goal, 60 percent will obtain employment.

d) Of the adults enrolled who choose a high school diploma or an alternative credential as a primary goal, 80 percent will achieve that credential.

## 2. Goals and Objectives (Optional)

Applicants may include additional goals and objectives that relate to the overall purpose of the ESFL funds as well as meet specific, local needs. In addition to identifying the local goals and objectives, applicants need to list activities, completion dates, person/position responsible for the activity, and the evaluation methods to be used.

Applicants must identify if the objectives are for adults or children.

All changes made in the 2010-11 application need to be reflected in the appropriate section of the application.

## G. Budget and Expenses

All year two applicants must submit a budget in addition to the continuation application form. Continuation applications submitted without a budget will not be accepted. Applicants shall use the budget template (Excel format) to submit the budget portion of the grant application. The budget template, including instructions, is available at http://dpi.wi.gov/titleone/esfl_forms.html.

A complete ESFL budget is made up of three parts: 1) the budget detail; 2) the budget summary; and 3) the budget rationale. These three parts help to fully describe how the money is spent to directly benefit the ESFL program.

## 1. Eligible Expenses

In general, applicants may allocate federal funds to cover direct costs specifically to carry out the ESFL program such as compensation of employees for the time devoted and identified specifically to the performance of the ESFL program; cost of materials acquired, consumed, or expended; equipment and other approved capital expenditures; and travel expenses.

Specific allowable expenditures include those necessary to provide family literacy services when not available in whole or part through partner's matching funds such as:

- Coordinator's salary
- Instructional/support staff salaries
- Database management and support
- Educational materials and supplies
- Evaluation materials and training
- Equipment for instructional use
- Instructor travel funds
- Staff professional development activities
- State and local evaluation of the project

When unavailable from other sources:
- Child care

- Transportation
- Food expenses to the extent that costs are necessary and reasonable for proper and efficient administration of the program. If the food expenses are related to entertainment, they are not allowable costs.
- Van or bus, lease or rental (prior approval from State Education Agency (SEA) must be obtained)
- Rent for space and/or mobile home with an option to buy for use as a classroom (prior approval from the SEA must be obtained)
- Educational toys
- Other: project submits rationale for emerging needs not covered under other local, state, or federal funds

**The supplement, not supplant requirement does not apply to the ESFL program.**

**2. Ineligible Expenses**
Projects may not allocate funds to support the following:
- Indirect costs[6]
- Construction

## H. Continuation Grant, Year Two, Review Process
DPI staff will review and approve the continuation grants for year two. The DPI will contact the grant coordinator identified in the application if there are any questions or concerns. DPI will provide written notification of grant awards upon review of all continuing grant applications.

## V.     Meeting Requirements
The DPI will conduct meetings or conference calls at least quarterly for local ESFL coordinators and evaluators to share program updates, problem solve programmatic challenges, and discuss evaluation components. The DPI will conduct at least one conference call for data managers and one meeting specifically on assessment for evaluators. The DPI requires participation from all grant recipients and will notify recipients of the dates and locations of the meetings after the awards are disbursed.

Furthermore, the DPI requires each recipient to send representatives from each of the four components (adult education, early childhood education, ILA, and parent education) to an annual cross-training session hosted by the DPI. (Date and location will be announced at a later date.)

## VI.    Report Requirements
The USDE requires grant recipients to report progress and collect data regarding all four core components. Grant recipients shall submit data on a monthly basis by utilizing the state's central data collection system (a.k.a. the Matrix). The DPI will

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[6] The USDE's Office of Management and Budget (OMB) in its Circular A-87, Cost Principles for State and Local Governments, defines indirect costs as "those incurred for a common or joint purpose benefiting a particular cost objective without effort disproportionate to the results achieved." According to circular A-87, examples of indirect costs include the following: data processing, accounting, audits, personnel, purchasing, etc.

provide more information and training, if needed, to grant recipients after awards are disbursed.

## VII. Evaluation Requirements

The USDE requires a strong evaluation component of the programs. All programs are required to contract or partner with a local evaluator. The DPI requires all ESFL program evaluators to collaborate with the DPI's ESFL Program Evaluator and attend mandatory meetings and conference calls. All recipients are required to administer, gather data, enter data into the central data collection system, synthesize data, and report results from the following instruments:

A. BEST Literacy and BEST Plus – Standardized instruments used with adult English language learns to measure progress over time. BEST Plus measures speaking and listening skills, and BEST Literacy measures reading and writing skills. Pre- and post-tests measure students' ability to understand and use English and inform instructional decisions with ESL students participating in ESFL. Results are reported in the annual local evaluation report and are also submitted to USDE through the Comprehensive State Performance Report (CSPR).

B. Parent Education Profile (PEP) – Designed to help summarize the status of parent progress in family literacy programs by organizing observations of behaviors related to literacy and learning made by parents themselves and those who know them well.

C. Phonological Awareness Literacy Screening (PALS PreK) – A measure of young children's knowledge of important emergent literacy fundamentals. As required by the USDE, the PALS PreK Upper Case Alphabet recognition sub-test, is now one of two assessment instruments used to measure the achievement levels of language development for children entering kindergarten. This assessment is administered to four and five-year-old children the year prior to the expected year of kindergarten entry. This is administered in the spring, usually between March 15 and May 15. This is generally given to children who have significant participation rates in Early Childhood Education, e.g., at least 50 to 60 hours.

D. Peabody Picture Vocabulary Test-Receptive Language IV (PPVT-IV) – This test is designed for person aged 2-1/2 through 90 + years. It serves two purposes: (1) as an achievement test of receptive (hearing) vocabulary attainment for standard English; and (2) as a screening test of verbal ability. As required by the USDE, this is now one of two assessment instruments used to measure the achievement levels of language development for children entering kindergarten. This assessment is given to four and five-year-old children the year prior to the expected year of kindergarten entry. Form A is generally administered within the first 30 hours of Early Childhood education. Form B should be administered about four to six months after entry, providing the child has had fairly consistent attendance and participation.

Note: In 2010-11, all ESFL projects are required to switch from PPVT-III to PPVT-IV. Each project received a copy of the PPVT at the cross-training on October 30, 2009.

E. Test of Adult Basic Education (TABE) – A standardized instrument that assesses adult basic skills in vocabulary, reading, language, language mechanics, mathematics, and spelling. It is used to pre- and post-test adults participating in ESFL programs to show their growth over time. Results are reported annually through the local evaluation process and are submitted each year to USDE through the CSPR.

For more specific evaluation guidelines, contact Kathleen Jackson at (608) 266-9616.

## VIII. Monitoring

The DPI will monitor all funded ESFL programs annually to determine continuation of the program if funding is available from the USDE. The DPI may conduct a records review, desk audit, or site visit. Monitoring allows the DPI to determine if the recipient is in material compliance with the state indicators of program quality and making sufficient progress. Monitoring also helps the DPI determine which programs need additional technical assistance and if there are common issues among all recipients that need to be addressed.

The DPI will use the following criteria during monitoring:

A. Sufficient Progress on State Indicators: Demonstrated achievement is in 70 percent or more of the state performance indicators.

B. Material Compliance is in three categories:
1. Service Delivery includes a **minimum** of the following hours of participation for any qualifying, enrolled participants:
   - 50 hours per month of adult education;
   - 50 hours per month of early childhood education (birth – 3);
   - 50 hours per month of early childhood education (above 3 – preschool); and
   - 16 hours per month of ILA and Parent Education.

2. Qualifying Enrollment: includes serving 70 percent or more of the targeted number of families as indicated in the grant application.

3. Duration includes serving families for a sufficient time period to achieve goals (minimum of pre/post test on 50 percent or more of the enrolled families).

If the DPI finds a program to be in non-compliance, the DPI will offer technical assistance and may put the program on probation or discontinue funds.

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Grant recipients establishing new ESFL projects have a six month probationary start-up period. A project will be terminated or placed on probation if they have not:

- Hired and trained staff;
- Recruited at least 50 percent of their targeted number of families as stated in the application; and
- Formally begun programming in all four of the core components.

If the DPI places a new project on probation, the DPI will reduce project budgets, place contingencies for continuance, and assign staff from a successful project to serve as mentor.

## IX.    Acknowledgement of Federal Funding

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with federal money, all grantees receiving federal funds, including but not limited to state and local governments, shall clearly state: 1) the percentage of the total cost of the program or project which will be financed with federal money; and 2) the dollar amount of federal funds for the project or program.

## X.    Fiscal Agent Policy
### A.  Purpose

The purpose of this **Fiscal Agent Policy** document is to clarify the responsibilities of the entity that is providing fiscal management, accounting, and reporting services on behalf of one or more participating organizations receiving funding under a grant or other award.

Local and intermediate educational agencies may function as fiscal agents with respect to programs administered by the DPI and funded by a variety of public and private sources. This policy provides guidance and establishes a minimum level of responsibility for those organizations providing fiscal agent services where the DPI has program oversight responsibility.

The underlying principles for this policy are that the fiscal agent assumes full responsibility for the fiscal management of the grant funds and that the fiscal agent maintains sufficient documentation for the financial and compliance audit of the grant award.

The criteria for appropriate use of a fiscal agent is not part of this policy, but it is assumed that the decision to use a fiscal agent is based on specific grant requirements or efficiencies to be gained from the use of a fiscal agent.

### B.  Fiscal Agency Agreement

The use of a **Fiscal Agent Agreement** is encouraged. This document should clearly identify the responsibilities of both the fiscal agent and the individual grant recipients that are referenced as participating organizations. It should identify conditions where the agreement would be terminated and also the administrative fees for the fiscal

agent. The **Fiscal Agent Agreement** may also be used to identify additional responsibilities such as program management or budget control.

## C. Project Accounting

The fiscal agent is responsible for recording all grant receipts and disbursements. Where appropriate, the fiscal agent should maintain budgets for total program activity and the individual activity for entities participating in the program. The fiscal agent should establish a separate project account for each grant project. All project receipts and disbursements should be recorded in this account.

## D. Reporting

The fiscal agent is responsible for submitting all required reports to the funding organization. The participating organization(s) is responsible for providing the required program and other information to the fiscal agent in a timely manner to allow preparation of the required reports. Reporting responsibilities should be detailed in the Fiscal Agent Agreement.

## E. Disbursing Funds

Generally, the fiscal agent will make all disbursements for the project. All transactions will be recorded in the project account established by the fiscal agent. Three levels of maintaining supporting documentation are allowable under this fiscal agent policy statement. In accordance with the underlying principle of this policy statement, sufficient documentation must be maintained by the fiscal agent to allow the fiscal agent's external auditor to perform the fiscal and compliance audit of the grant award. An example of maintaining supporting documentation under level three documentation is available at

http://www.dpi.state.wi.us/dpi/dfm/sfms/doc/fisagnt_example.doc.

### Level One Documentation

The fiscal agent will maintain requisitions, purchase orders, invoices, receiving reports, and payment vouchers. Under this most controlled option, the fiscal agent is generally making all purchases for the participating organizations.

### Level Two Documentation

The fiscal agent will maintain original requisitions, purchase orders, invoices, receiving reports, and payment vouchers for direct expenditures made by the fiscal agent and will request and maintain from the participating organizations copies of the above expenditure documentation. Under this option the fiscal agent is making some purchases on behalf of the participating organization and maintaining **level one** documentation for these purchases. The participating organization is also making purchases and submitting copies of all supporting documentation to the fiscal agent.

### Level Three Documentation

The fiscal agent will maintain original requisitions, purchase orders, invoices, receiving reports, and payment vouchers for direct expenditures made by the fiscal agent. The fiscal agent will reimburse expenditures made directly by the participating organization(s), only after receipt of a detailed report of expenditures by the

participating organization(s). This report must include all detail information on the expenditures, such as purchase order numbers, vendor name, invoice number, payment voucher number, date, etc. In accordance with the underlying principles of this policy, these disbursements must be adequately documented so that the fiscal agent's external auditor can audit the grant. In this situation, the external auditor may request the fiscal agent to obtain from the participating organization(s) copies of the supporting expenditure documentation needed for their audit testing. The fiscal agent may periodically also ask for such documentation to satisfy their responsibility as fiscal agents.

**Under this fiscal agent policy, it is unacceptable for the fiscal agent to directly disburse grant funds to a participating organization prior to receiving supporting documentation for the disbursement of grant funds.**

## F. Inventory Records

The fiscal agent is responsible for maintaining fixed asset records for any items exceeding the capitalization level of the fiscal agent. In addition, the fiscal agent is responsible for maintaining inventory records for any items as required by the grant agreement. When grant assets are located at a participating organization(s), this location should be identified on the fiscal agent's inventory records. Verification of assets according to the fiscal agent's periodic inventory procedures should include those assets acquired as fiscal agents.

If the fiscal agent adopts a higher capitalization (or fixed asset inventory) level than they have adopted for their organization, but a level that still complies with the grant requirements, this should be noted in the **Fiscal Agent Agreement.** The entity that has physical custody of the fixed asset has the responsibility for providing insurance coverage if coverage is desired.

The financial reporting of these assets under the Governmental Accounting Standards Board statement number 34 (GASB #34) or any subsequent accounting principle should be covered in the **Fiscal Agent Agreement.**

## XI. Fiscal Agent Responsibilities
### A. Budget Revisions

If a project determines that a modification to the original approved budget of more than ten percent per line item is necessary, the project shall work with their fiscal agent to request review and approval from the DPI. Funds shall not be expended until the DPI approves the revision.

To request a budget modification, recipients shall submit the budget detail and budget summary (from the approved application) reflecting the proposed modification along with a narrative explaining the reasoning for the modification. Submit budget modifications to the education consultant, Kathleen Jackson, for the grants. The DPI will notify recipients of the approval or denial in writing.

All budget modification requests must be received <u>and</u> approved by the DPI before May 27, 2011.

## B.  Payment of Grant Funds

The DPI recommends recipients submit program fiscal reports (PI-1086) at least quarterly during the grant period. A final program fiscal report is due on September 30, 2011. Direct all questions regarding financial claims to the DPI's accountant, Alan Virnig, at (608) 266-8053.

## C.  Audit Requirements

If the fiscal agent already has an annual audit performed by independent auditors, the auditors are responsible to determine whether state and federal single audit requirements apply to the award recipient and, if so, they are also the ones responsible for complying with state and federal single audit regulations. If a single audit is required and compliance testing must be done, the auditors will decide which grant programs need to be tested for compliance, and they will perform the testing themselves.

If the fiscal agent spent more than $500,000 in federal awards during the year, the award recipient must comply with state and federal single audit regulations and a single audit report must be prepared by the auditors. If such a report is prepared, the fiscal agent must send the DPI a copy of it within nine months from the end of the fiscal agent's fiscal year or within thirty days completion of the audit, whichever is sooner.

NOTE: School districts are already in compliance with these audit requirements.

## XII.   Resources

- Financial Management Handbook for Federal and State Grant Programs
  http://dpi.wi.gov/sms/handbook.html

- Program Fiscal Reports (PI-1086)
  http://dpi.wi.gov/forms/xls/f1086.xls

- Wisconsin Uniform Financial Account Requirements (WUFAR)
  http://dpi.wi.gov/sfs/wufar.html

## XIII.  Title I and School Support Team Contact Information

Kathleen Jackson, Education Consultant          Kathy Trotta, Operations Associate
kathleen.jackson@dpi.wi.gov                      kathleen.trotta@dpi.wi.gov
(608) 266-9616                                   (608) 266-1863

Alan Virnig, Accountant
alan.virnig@dpi.wi.gov
(608) 266-8053

## Appendix A, Definitions

A more complete list of terms may be found on the Even Start Family Literacy website at http://www.dpi.state.wi.us/titleone/pdf/esfl_glossary7-07.pdf.

**Empowerment Zones and/or Enterprise Communities:** A federal program to improve conditions in poor urban and rural areas. Federal funds are granted to communities for improvement projects such as day care, job training, bank capital, increasing police patrols, and drug prevention. Under Empowerment Zones only, tax incentives are given to businesses that hire people who live in poor areas.

**English language learner (ELL) or individual of limited English proficiency (LEP):** An adult or out-of-school youth (OSY) who has limited ability in speaking, reading, writing, or understanding the English language, and:
   a. Whose native language is a language other than English; or
   b. Who lives in a family or community environment where a language other than English is the dominant language.

**Federal Educational Rights and Privacy Act (FERPA):** Federal statute containing provisions for the protection of the privacy of parents and students, which applies to the ESFL program. For information about FERPA requirements, contact the USDE's Family Policy Compliance Office at http://www.ed.gov/policy/gen/guid/fpco/index.html.

**Government Performance and Results Act of 1993 (GPRA)**: This legislation is part of the USDE's strategic plan to transform education into an evidenced-based field. The USDE distributes GPRA guidelines that direct the reporting of performance and progress of ESFL programs. Although these are generally circulated as guidelines and are under constant revision, they are acted upon as requirements. For more information refer to http://www.whitehouse.gov/omb/mgmt-gpra/.

**Homelessness:** "One who, (1) lacks a fixed, regular, and adequate residence; or (2) has a primary nighttime residence in a supervised publicly or privately operated shelter for temporary accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill), an institution providing a temporary place not designated for, or ordinarily used as, a regular sleeping accommodation for human beings." For more information about the Education for Homeless Children and Youth, please contact Mary Maronek at (608) 261-6322.

**Migratory Child:** The term 'migratory child' means a child who is or whose parent, spouse, or guardian is a migratory agricultural worker, including a migratory dairy worker, or a migratory fisher, and who, in the preceding 36 months, in order to obtain, or accompany such parent, spouse, or guardian in order to obtain temporary or seasonal employment in agricultural or fishing work:
   a. Has moved from one school district to another;
   b. Is in a state that is comprised of a single school district, has moved from one administrative area to another within such district; or

  c. Resides in a school district of more than 15,000 square miles, and migrates a distance of 20 miles or more to a temporary residence to engage in a fishing activity.

**Partnership:** An eligible entity that may apply for an ESFL subgrant is a partnership between one or more LEAs and other organizations or agencies. As indicated in the ESFL guidance, a partnership as used in this context may take a number of different forms, and can designate any partner as the fiscal agent for the subgrant or form a formal legal entity that is a partnership to serve as the fiscal agent. In each case, the partners should clearly delineate their respective roles and functions, identify the partner(s) that will serve as the fiscal agent, and agree in writing any required assurances and authorizations.

**Appendix B, Technology Guidelines**

Wisconsin Even Start Family Literacy projects must rely on computerized information technology to fulfill grant requirements for project management, data collection, state and federal reporting, training, technology support, and electronic data transmission.

Maintaining the necessary hardware, software, network, security, and internet accessibility is crucial to fulfilling the grant requirements. Certain minimum technology requirements include:

1. Required Software:
   a. Microsoft® Office XP Professional (Office 2003 Pro preferred), sp2 running Access 2003; Matrix and DPI Reporting System not compatible with later versions of Microsoft Office
   b. Matrix ESFL™ project management software version 2.83.25
   c. WinZip® latest version (currently 10.0) compression software with command line software (lifetime cost of approximately $40.00); if version later than 10.0 is purchased it must be compatible with 10.0
   d. Current version of Adobe Acrobat Reader®
   e. Latest DPI Reporting System software supplied by DPI but downloaded by individual projects

2. Electronic Data Transmission Procedures and Timelines:
   a. Reconcile and Submit Data file to DPI or its designee by the 10$^{th}$ of every month
   b. Use the following method to transfer data and receive updates:
      - Upload data to ActiveEdconsultants.com
      - Download data from ActiveEdconsultants.com
      - If project personnel lack the technical skills to fulfill the upload and download of data and/or software, technology partner must provide said services

3. Data Management Requirements:
   DPI will provide a current FY Data and ESFL Procedure Manual that will include data reconciliation directions, data submission guidelines, suggestions for best practices on maintaining and backing up data files, and definitions of important terms; it will not include general directions about entering, manipulating, or "mining" data. Projects will be expected to have data managers that have a working knowledge of Access databases. Minimum training/skills for data managers (DM) include but are not limited to:
   a. Use Datasheet View to:
      - Add, edit, and delete records
      - Add, delete, and move columns
      - Resize, hide, and move columns
      - Find data
      - Check spelling and Autocorrect
      - Print and export a datasheet to Excel and Word
   b. Declare Table Relationships

      c. Use Access Wizards to:
- Build Select, Multi-table, Crosstab, and Find Duplicate queries
- Build simple forms and reports

      d. Use queries to create and modify table relationships

      e. Use sort, filter by selection, filter by form, and criteria to set up:
- And conditions
- Or conditions
- The between and operator
- Wildcard Character

      f. Ability to build tables; Select, Crosstab, and Find Duplicate queries; and simple reports using Access Wizards.

      g. Ability to enter data in a datasheet view

**Online Tutorials**

To help Data Managers build the described skills, here are a number of online tutorials which may be used to supplement training:

Access 2000 tutorials (concepts still applicable to Access XP and Access 2003):
http://www.fgcu.edu/support/office2000/access/
http://www.jmu.edu/computing/ittraining/tutorials/microsoft/access/index.shtml - queries
http://www.udel.edu/evelyn/actutorials.html
http://eis.bris.ac.uk/~ccmjs/access_section.html

Limited tutorials:
http://mis.commerce.ubc.ca/courses/comm391/tutorials/access1/access1.htm
http://mis.commerce.ubc.ca/courses/comm391/tutorials.html

Access XP tutorials:
http://www.functionx.com/access/
http://www.bcschools.net/staff/AccessHelp.htm
http://cisnet.baruch.cuny.edu/holowczak/classes/2200/access/accessall.html - sec_intro
http://office.microsoft.com/en-us/training/CR061829401033.aspx
http://apex.vtc.com/access2002.php

Site of multiple tutorials:
http://www.techtutorials.info/appaccess.html

Definition of Access and general database terms:
http://databases.about.com/od/administration/a/glossary.htm

*Updated May, 2010*
*Please Note: The technology guidelines are under review and subject to change. DPI will notify award recipients if the technology guidelines change.*